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A Novel Technique Based on Deep Learning and a Synthetic Target Database for Classification of Urban Areas in PolSAR Data

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Abstract—The classification of urban areas in polarimetric SAR (PolSAR) data, is a challenging task. Moreover, urban structures oriented away from the radar line of sight pose an additional complexity in the classification process. The characterization of such areas is important for disaster relief and urban sprawl monitoring applications. In this paper, a novel technique based on deep learning is proposed which leverages a synthetic target database for data augmentation. The PolSAR dataset is rotated by uniform steps and collated to form a reference database. A stacked auto-encoder network is then used to transform the information in the augmented dataset into a compact representation. This significantly improves the generalization capabilities of the network. Finally, classification is performed by a multi-layer perceptron network. The modular architecture allows for easy optimization of the hyper-parameters. The synthetic target database is created and classification performance is evaluated on an L-band airborne UAVSAR dataset and L-Band space-borne ALOS-2 dataset acquired over San Francisco, USA. The proposed technique shows an overall accuracy of 91.3%. An improvement over state of the art techniques is achieved, especially in urban areas rotated away from the radar line of sight.

Index Terms—Deep Learning, Autoencoder, Deep Neural Networks, Polarimetric SAR, Classification, Urban Remote Sensing, Representation Learning.

I. INTRODUCTION

Remotely sensed images acquired by space- or airborne sensors have revolutionized Earth observation allowing an unprecedented ability to image and observe large areas with high temporal repetivity. The active properties of Synthetic Aperture Radar (SAR) data are increasingly exploited in monitoring applications. SAR sensors form an image by transmitting radar pulses either in horizontal or vertical polarization and receiving coherently [1]. These sensors are not dependent on external sources for illumination. They have cloud cover penetrating capabilities thus operate without restriction of time and season. Polarimetric SAR (PolSAR) imaging is an advancement made on single polarization SAR imaging [2]. The polarization of the incident wave is controlled so that it is

restricted alternatively to either h or v transmission. Similarly, reception is performed alternatively in h or v polarizations, so that for every imaged pixel, four combinations of polarization (i.e. hh , hv , vh , and vv) are captured. PolSAR imaging can capture more information about the physical properties of the target than single or dual polarization imaging, and consequently, it can lead to better target characterization and classification [3]. However, it introduces unique challenges in the characterization of urban areas, which is increasingly becoming important for systematic monitoring.

The first attempt at the classification of PolSAR images was made in [4]. The authors proposed a maximum likelihood based classification method for a PolSAR image based on a complex Gaussian distribution and showed that the addition of phase information from multiple channels improves the classification accuracy. Subsequently, a neural network classifier for SAR data was proposed in [5], where a feed-forward network with a single hidden layer having sigmoidal activation functions was showed. It was observed that polarimetric and machine learning theory were complementary. However, at that time neural networks were considered computationally intensive and would not be widely adopted until subsequent advancements in computing technology [6] were made.

A popular classification scheme was proposed in [7], which uses a maximum likelihood classifier based on the Wishart distribution to perform terrain classification. Various studies have explored the effect of speckle and sensing frequency on the accuracy of this technique [8]. An unsupervised scheme also based on the Wishart distribution was proposed in [9]. This has been extended by using several techniques for urban classification. In [10] the Chernoff and in [11] the Jeffries-Matsushita distance measures are used in conjunction with the complex Wishart distribution. The complex Wishart distribution model for the covariance or coherency matrices is valid for homogeneous areas. However, in extremely heterogeneous regions, like urban areas, the Wishart assumption is seldom true. Hence, in this case, it is desirable to use a non-parametric classification scheme.

Polarimetric scattering power decomposition parameters can serve as low-level features in classification [12]. Both supervised [13] and unsupervised [9] schemes have been proposed that perform urban area segmentation based on decomposition parameters. Despite the availability of several sophisticated methods, the selection of an appropriate decomposition approach for a scene is not a trivial task [14]. An alternative

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strategy for urban classification is to use the textural information in the SAR images [15], [16]. However, in texture based schemes, the rich scattering information available from polarimetry is often not considered.

Interest in neural networks was renewed with improvement in technology. In [17] a Karhunen-Loeve transform is used to extract features from a fully polarimetric dataset and a neural network is used to perform classification of the scene into urban, vegetation and terrain classes. A study about the land-cover and soil type mapping capabilities using a probabilistic neural network was reported in [18] using L-Band space-borne data. Multi-temporal/multi-frequency datasets were exploited using a neural-statistical kernel in [19] for urban classification. An adaptive resonance theory neural network was shown to perform computationally efficient classification of urban areas using polarimetric data. Hybrid approaches such as combination of neural networks and fuzzy logic were demonstrated to have good performance for SAR classification in [20] and later specifically for identification of urban areas in [21]. A system for classification of multitemporal SAR images based on the integration of the SAR system physics and a radial basis function neural network architecture is proposed in [22]. Another multi-temporal approach using single channel SAR datasets to monitor urban land cover in major Italian cities is proposed in [23].

Hinton et. al. introduced the concept of deep learning in [24], which found successful application in multiple areas [25]–[28] establishing it as a new field of machine learning research. The motivation lies in the capability of neural networks to break down complex learning problems into simpler representations. Deep Learning has been recently adopted by the remote sensing community for improved performance in several applications [29]–[31]. Multiple natural land cover classes were identified from a hyperspectral dataset in [32], while objects detection was performed in optical datasets in [29] using deep learning techniques. Additional information is often added to the classification scheme from auxiliary data sources like optical and multi-spectral areas [33], [34]. Deep learning techniques are quickly gaining popularity to perform multi-sensor data fusion as well [35], [36]. A deep learning based approach can simplify feature and classifier design, and allow the utilization of augmented datasets. This can help mitigate some of the challenges faced in the classification of urban areas from PolSAR data.

The classification of urban areas in PolSAR data-sets is especially challenging, because of the problems related to orientation of targets with respect to the radar line of sight. When targets that exhibit even bounce scattering are oriented away from the radar line of sight, the co-polarized return is reflected away from the sensor, while the cross-polarized return level remains the same [37], [38]. This makes such areas hard to distinguish from natural targets like forest and vegetation. This represents a major challenge for the classification algorithm. In [39] a polarimetric matrix rotation theory framework was proposed which develops a physically significant set of rotation angle parameters. An approach based on the rotation of the coherency matrix was proposed in [40] to compensate for the over-estimation of volume in rotated

urban areas. In [41] a link is established between eigen-decomposition method and model based decomposition methods to also solve the overestimation of the volume scattering power problem. Another decomposition technique proposed in [42] uses a mapping to create an improved representation and further help improve target characterization. Alternatively, some approaches utilize a separate class for identifying rotated targets, and then merge them with the non-rotated class as a post classification step. However, this makes it mandatory to input training samples from rotated target areas, which may not always be possible. The generalization ability and autonomy of such an approach is therefore low.

In this work, a novel technique based on the target scattering properties along with a deep learning approach is proposed for urban area classification using PolSAR data. The properties of polarimetric scattering are used to generate synthetic targets, which simulate the effects of rotation about the radar line of sight in uniform angular steps. In general, polarization orientation angle shifts are observed in polarimetric SAR data which are induced by terrain slopes and complex scattering in urban areas. In turn, polarization orientation angle shifts can be induced by appropriate Euler rotations to form synthetic targets. They can be suitably leveraged for better generalization in machine learning algorithms. The process is used to generate a database containing simulated urban targets. The synthetic urban target database is used to train and extract features from a sparse stacked auto-encoder. Thus, the information about the targets and rotation is accounted for in the classification scheme, which helps to discriminate rotated urban areas without requiring explicit representation in the training stage. The advantage of using a deep learning based scheme is that, the network can be trained incrementally on a large volume of data, and subsequently used as a generalization for unseen data. This leads to a computationally efficient and fast classification phase. Given the commercial interests in deep learning at large scale, several GPU based specialized peripherals have been developed. These can be used to further speed up calculations and drastically reduce the training time over CPU bound computation.

The urban synthetic target database generation technique applied to simulate the effects of rotation about the radar line of sight (Section II-A). This forms the mid-level features which then act as input to a stacked auto-encoder stage. The training of this stage is carefully monitored using metrics derived from information theory (viz. cross-entropy error) to prevent over-fitting. After the training phase, the extracted features are described and discussed in section II-B. Finally, a multi-layer perceptron is used to perform the final supervised classification using both the extracted features and estimated statistical parameters (Section II-C). The overall stage-wise procedure allows an efficient tuning of hyper-parameters for optimizing the classification. The technique is demonstrated on PolSAR data acquired over the city of San Francisco by the UAVSAR and ALOS-2 platforms (Section III). It is shown that both rotated and non-rotated urban areas can be discriminated with an overall accuracy of about 91.3%. Moreover, the proposed approach shows a better qualitative and quantitative performance when compared with contemporary techniques.

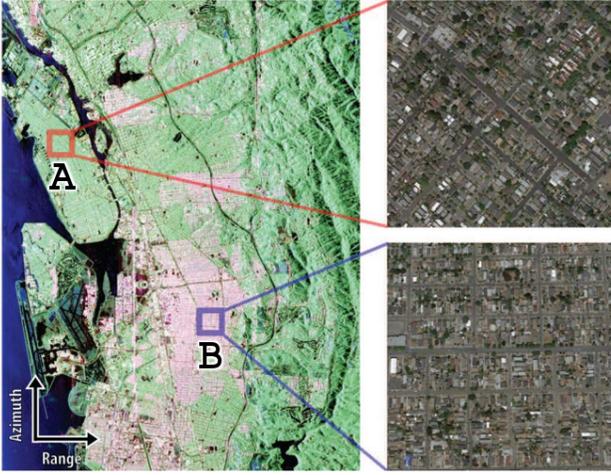


Fig. 1. Pauli composite generated from UAVSAR polarimetric data-take acquired over Oakland, CA is shown along with optical data from Google Earth. Area *A* is oriented with the radar line of sight while area *B* is not.

II. PROPOSED CLASSIFICATION APPROACH

The proposed approach for pixel classification of PolSAR data is shown in Figure 2. The polarimetric channels can be considered as low-level input features that describe the geometry and dielectric properties of the target. However, these features are not robust enough to obtain accurate and stable classification performance. A pre-processing step is applied to transform them into more robust mid-level features, but this expands the data volume many-fold. A deep learning network is used to extract high-level features which are both efficient and robust with respect to the mid-level ones. In

literature both supervised structures such as CNNs [43] and unsupervised structures such as auto-encoders [32], DBNs [44] are used to this end. The mid- or low-level features are given as input to the network at the bottom layer and features are extracted from either the top or intermediate layers. The features are then classified using a suitable supervised classifier. In general, there are two kinds of classifiers. Hard classifiers such as SVMs which directly produce the classification label as output at every pixel, and soft classifiers such as logistic regression that can fine-tune the whole pre-trained network and predict the class labels as a probability. The proposed method aims at classifying PolSAR images to identify urban areas and separate them from their surrounding land-cover classes, forest, bare-soil and water bodies. Segmented urban area maps can subsequently be used to characterize urban density, land-area usage, urban sprawl, and land cover change in temporal data amongst other applications.

The difficulty in the classification of urban areas from PolSAR data arises because of the complex scattering of the polarized radar pulse from urban structures [45]. This is especially pronounced when they are oriented away from the radar line of sight. Range and azimuth slopes can cause the polarization to rotate about the radar line of sight, which causes the erroneous identification of the scattering mechanism. For instance, scattering observed from urban structures oriented away from the radar line of sight exhibit high cross-polarization as shown in Figure 1. This presents a confusion between urban areas and vegetation leading to incorrect classification. To overcome this challenge, a novel synthetic rotation based approach is proposed which simulates other rotated synthetic targets based on those present in the scene. This allows the machine learning algorithm to better generalize, be

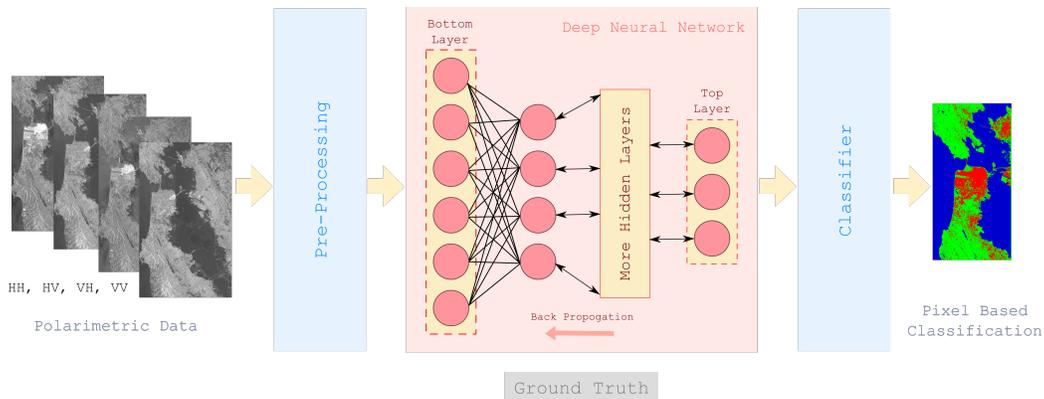


Fig. 2. Framework for pixel classification of PolSAR images using a deep learning architecture.

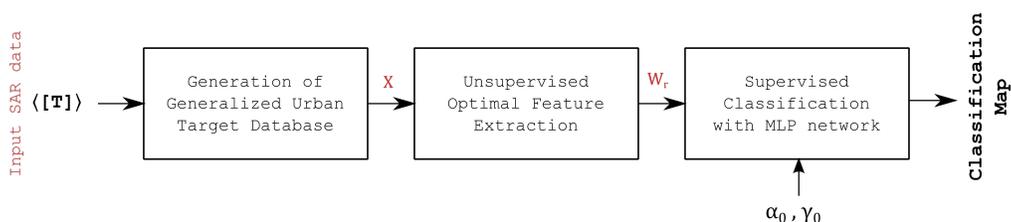


Fig. 3. Block diagram of the proposed approach.

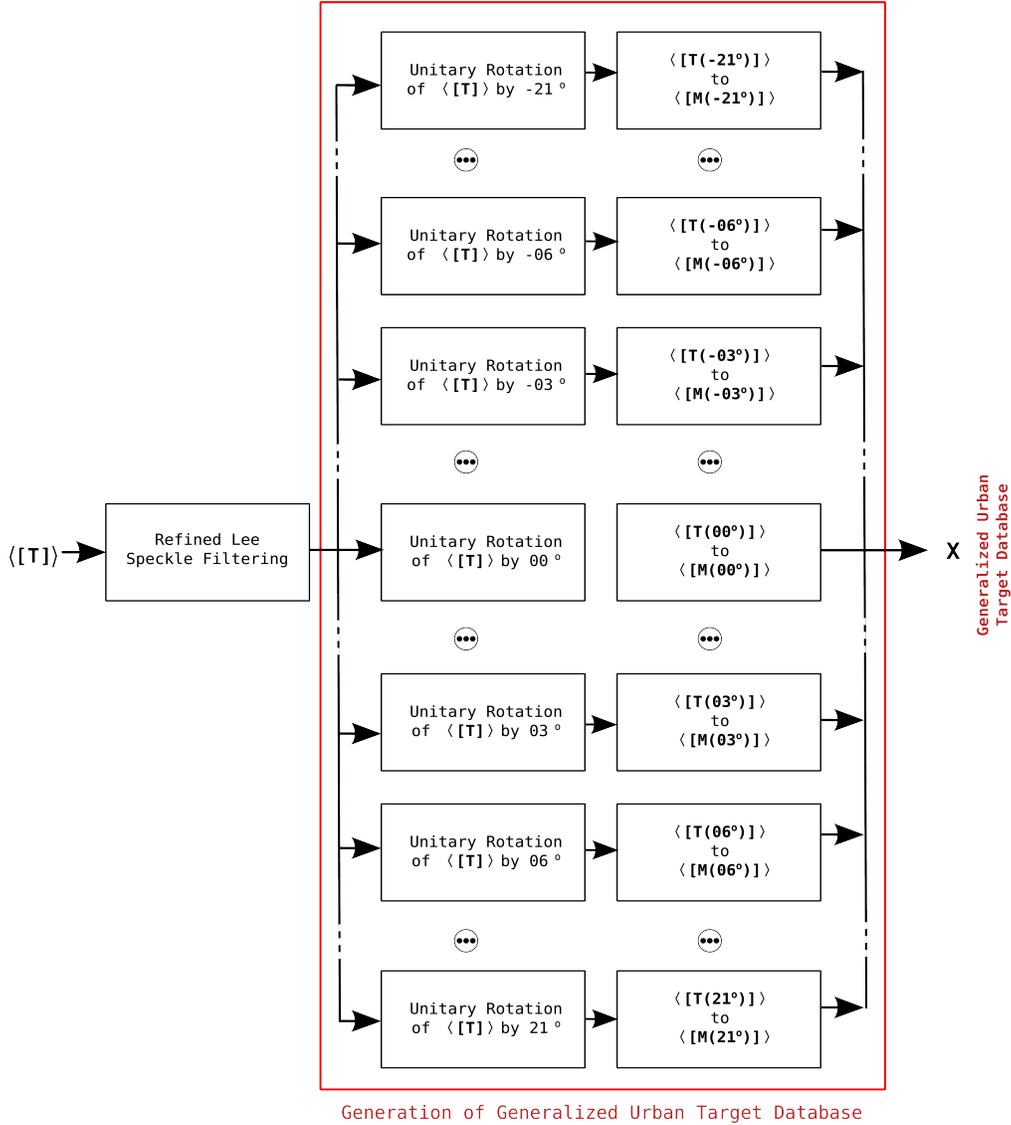


Fig. 4. Schematic diagram of the PolSAR data pre-processing and physics based generalized urban target database generation step.

more robust and successful in discriminating oriented urban areas.

The classification process consists of three stages as shown in Figure 3. The first stage deals with the pre-processing of the PolSAR data and the generation of a generalized synthetic urban target database by transforming the input data to obtain a more general representation of the target (sub-section II-A). The second stage is an unsupervised feature learning step, which automatically learns an optimal representation of the generalized database using a stacked auto-encoder network (sub-section II-B). Finally, the third stage extracts optimal features from the previous stages, along with some statistical parameters and performs a supervised classification by using a multi-layer perceptron (MLP) network (sub-section II-C).

A. Generation of Generalized Synthetic Urban Target Database

Measurement by a fully PolSAR system commonly involves the transmission of horizontally (h) and vertically (v) polarized

radar pulses followed by their coherent reception. The polarization state of an incident electromagnetic wave is altered on scattering from a complex radar target. This alteration is a function of the physical and geometrical properties of the target itself, which in turn can serve to characterize it. This scattering (or Sinclair) matrix is in the (h, v) polarization basis and has the form:

$$\mathbf{S} = \begin{bmatrix} S_{hh} & S_{hv} \\ S_{vh} & S_{vv} \end{bmatrix} \quad (1)$$

The full polarimetric scattering matrix is available for each imaged pixel and consists of four independent measurements (hh , hv , vh and vv), with the phase relations between them recorded [46]. Generally, in polarimetry it is assumed that the targets are reciprocal. In the case of symmetric mono-static scattering, we can thus constrain the scattering matrix to be symmetric, *i.e.* $S_{hv} = S_{vh}$.

The corresponding k_p -target vector is expressed as,

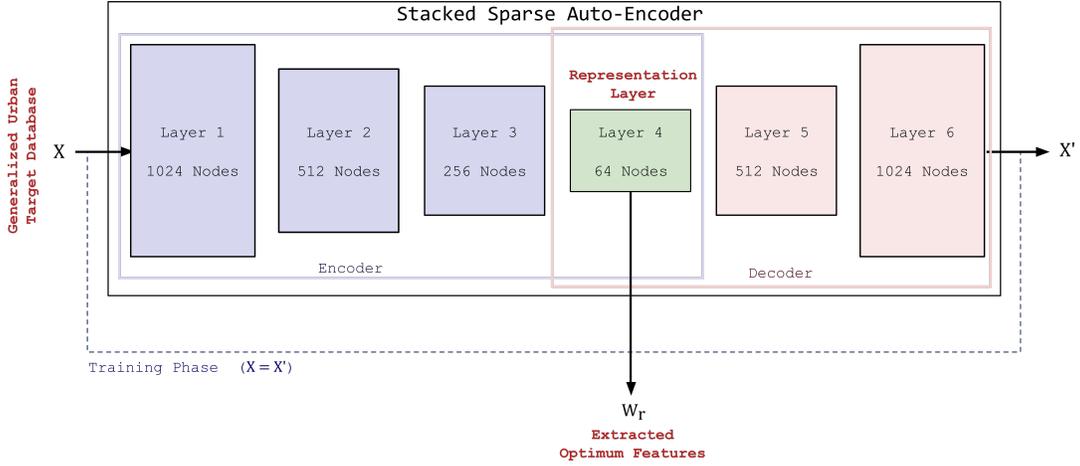


Fig. 5. Auto-Encoder block scheme with Layer 4 extracted as the output feature-set.

$$\mathbf{k}_p = \frac{1}{\sqrt{2}} [S_{hh} + S_{vv} \quad S_{hh} - S_{vv} \quad 2S_{hv}]^T \quad (2)$$

where the superscript T denotes transpose. In the mono-static backscattering case, we can construct a 3×3 coherency matrix, \mathbf{T} , as

$$\mathbf{T} = \mathbf{k} \cdot \mathbf{k}^{*T} \quad (3)$$

$$\mathbf{T} = \begin{bmatrix} t_1 & t_2 & t_3 \\ t_2^* & t_4 & t_5 \\ t_3^* & t_5^* & t_6 \end{bmatrix} \quad (4)$$

where

$$\begin{aligned} t_1 &= |k_1|^2 = \frac{1}{2} |S_{hh} + S_{vv}|^2 \\ t_2 &= k_1 k_2^* = \frac{1}{2} |(S_{hh} + S_{vv})(S_{hh} - S_{vv})^*|^2 \\ t_3 &= k_1 k_3^* = (S_{hh} + S_{vv}) S_{hv}^* \\ t_4 &= |k_2|^2 = \frac{1}{2} |S_{hh} - S_{vv}|^2 \\ t_5 &= k_2 k_3^* = (S_{hh} - S_{vv}) S_{hv}^* \\ t_6 &= |k_3|^2 = 2 |S_{hv}|^2 \end{aligned} \quad (5)$$

L independent and identically distributed samples are averaged to enhance the signal-to-noise ratio while forming the 3×3 L -looked \mathbf{T} as,

$$\mathbf{T} = \langle [\mathbf{T}] \rangle = \frac{1}{L} \sum_{i=1}^L \mathbf{k}_{p_i} \cdot \mathbf{k}_{p_i}^{*T} \quad (6)$$

where $\langle \dots \rangle$ denotes temporal or spatial ensemble averaging, under the assumption that the signal is ergodic. Radar images, as a consequence of their coherent nature, are subject to a speckle pattern. Multilooking allows the exploitation of the second order statistical information while providing preliminary speckle suppression. A refined Lee filter [47] is applied to the dataset as a pre-processing step to further suppress speckle and improve classification performance. This filter is based on

the local statistics of the data and has a good edge preservation ability allowing the retention of details.

The orientation of the target from the radar line of sight, or the presence of azimuth slopes can induce Polarization Orientation Angle (POA) shifts. These can lead to misinterpretation of the scattering characteristics of the target. This is especially common in urban areas oriented at an angle with respect to the radar line of sight and affects the classification performance. The rotation of the \mathbf{T} can help to optimize and extract more polarimetric information which, in-turn helps to improve the characterization of the target scattering mechanism [12]. If we consider a target which is symmetrical about the radar line of sight, the rotation of such a target about the radar line of sight can be represented by the unitary rotation of \mathbf{T} by a matrix rotation model expressed as

$$\mathbf{T}(\theta) = \mathbf{R}(\theta) \mathbf{T} \mathbf{R}(\theta)^{-1} \quad (7)$$

where the special unitary rotation matrix $\mathbf{R}(\theta)$ is given by

$$\mathbf{R}(\theta) = \begin{bmatrix} 1 & 0 & 0 \\ 0 & \cos 2\theta & \sin 2\theta \\ 0 & -\sin 2\theta & \cos 2\theta \end{bmatrix} \quad (8)$$

The orientation angle θ is estimated either by minimizing the t_6 element given in (5) [48] or by maximizing a stochastic distance measure between the t_6 and the t_4 [49].

Conversely, if the \mathbf{T} matrix is rotated using unitary rotation as in (7), it would simulate the effect of physically rotating the target while measuring it with a polarimetric antenna. That is, the result of rotating the target \mathbf{T} by $\mathbf{R}(\theta)$ is the \mathbf{T} matrix that would be obtained with target having orientation θ from the radar line of sight during measurement. Thus, it is expected that by synthetically rotating and storing the rotated \mathbf{T} , we can generate a database of synthetic targets based on those detected in the scene. The rotations are done in discrete steps as show in Figure 4 before being collated in a database. The granularity of the rotation steps is directly proportional to the size of training dataset and the capacity of generalization. If the rotations are closely spaced, the database will require more memory, but the generalization ability will be enhanced. However beyond a point, the gain in performance

is not justifiable by the rise in computational cost. Therefore a step of 3° is selected as a trade-off between performance gain and memory requirement, but other choices are possible. When these are used in the training of the learning algorithm, they improve the generalization capability of the network, allowing it to recognize targets with orientation not present in the original training data. Thus, the rotation based synthetic target database creation strategy in conjunction with a deep learning network architecture improves the classification accuracy of urban areas.

The 3×3 coherency matrix \mathbf{T} , which is hermitian by the nature of its construction, contains complex valued quantities in its off-diagonal elements. In the complex-number space the solution of differentiation is not guaranteed to be analytic. This poses a problem in the back-propagation step while using neural networks. An alternative approach would be to separate the real and imaginary parts of the elements of \mathbf{T} and use them as input for the network. However, splitting a complex number to process in real-valued neural networks leads to a sub-optimal representation of the domain of the problem [50]. To get around it, we convert the complex valued \mathbf{T} matrix to the real valued Mueller representation. The Mueller matrix \mathbf{M} is a 4×4 real matrix, that can be obtained by a linear transformation of the \mathbf{T} matrix as

$$\mathbf{M} = \frac{1}{2} \begin{bmatrix} t_1 + t_4 + t_6 & t_2 + t_2^* & t_3 + t_3^* & -i(t_5 - t_5^*) \\ t_2 + t_2^* & t_1 + t_4 - t_6 & t_5 + t_5^* & -i(t_3 - t_3^*) \\ t_3 + t_3^* & t_5 + t_5^* & t_1 - t_4 + t_6 & i(t_2 - t_2^*) \\ -i(t_5 - t_5^*) & -i(t_3 - t_3^*) & i(t_2 - t_2^*) & -t_1 + t_4 + t_6 \end{bmatrix} \quad (9)$$

\mathbf{M} is a real valued matrix with 16 elements, which reduces to 10 unique real elements assuming reciprocity conditions. This property makes the representation suitable for the purpose of feature learning by neural network structures. Additionally the Mueller matrix is also closely related to the physical properties of a target [51]. This makes it a reasonable choice for identifying the scattering mechanism from targets. In this work, each rotated \mathbf{T} matrix is thus converted to its \mathbf{M} representation. \mathbf{M} matrices are then collated together as a database of synthetically generated generalized urban targets to serve as input to subsequent stages of the learning algorithm.

B. Unsupervised Feature Extraction from a Stacked Auto-Encoder Network

The second stage of the proposed classification method consists of an unsupervised sparse stacked auto-encoder (AE) which is represented in Figure 5. An AE is a feed forward, fully connected, non-recurrent neural network with an input layer, an output layer and one or more hidden layers as shown in Figure 6. The output layer has the same number of nodes as the input layer. During the learning phase the AE is trained to reconstruct for each pixel i the input X_i in the output X'_i . The error is back-propagated and minimized over multiple iterations.

The collated synthetic urban target database from the previous stage is made available to the AE as input. The training is carried out in an unsupervised manner. At the end of the training phase, the weights W_r of the central hidden layer

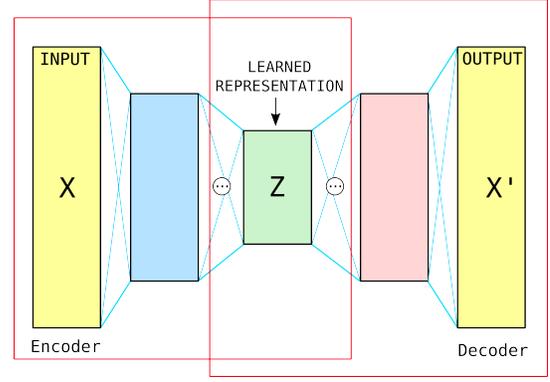


Fig. 6. Structure of a general auto-encoder with fully connected hidden layers.

Z , are extracted to form an efficient feature representation of the dataset. This stage takes the $n \times 10$ dimensional collated target dataset X , where n is the number of synthetic rotations, and reduces it to an m dimensional feature set W_r , where m is the number of nodes in the representational layer Z and $m < n \times 10$. In practice the AE stage integrates information about the rotational response of the target and encodes it into a compact representation. Thus AE acts as an unsupervised feature learning stage and is able to automatically extract an optimized feature set from the input data. This self-learning of the features based on the training data is a hallmark of deep-learning based architectures. This step gives the network greater generalization ability allowing it to respond to different orientation configurations of the targets. Thus once trained on a target that is perpendicular to the radar line of sight, it can respond to the same target encountered at an orientation, even if such a configuration was not present in the training samples.

To understand the action of the AE let us consider a learning problem where a labeled training set (X_i, l_i) is available, where X_i represents the input vector and l_i is the corresponding label for the i^{th} pixel. The label is not required for the unsupervised AE stage, but it is necessary for the subsequent classification. The network consists of individual neurons that are interconnected such that it is possible to define a complex, non-linear, non-parametric hypothesis $h_{W,b}(x)$. W is the weight matrix and b is the vector of bias terms for the network. Both these parameters are fitted to the data over the training process. A neuron is a computational unit that takes as input $\mathbf{X}_i^n = X_1, X_2, \dots, X_n$ and an intercept term b , and produces the output, called hypothesis, $h_{W,b}(X) = f(W^T x) = f(\sum_{i=1}^n W_i x_i + b)$, where $f: \mathbb{R} \Rightarrow \mathbb{R}$ is called the activation function or nonlinearity.

Traditionally the sigmoid $\sigma(x) = 1/(1+e^{-x})$ has been used as the activation function. It takes a real-valued number x and returns a value within $[0, 1]$, according to the magnitude of the input. In practice this has some drawbacks. The output of the sigmoid saturates at either tail of 0 or 1 and the gradient at these regions tends to zero, which causes a very small output to be back-propagated. Additionally, if the initial weights are large, the neuron can quickly become saturated during training. The sigmoid function also is not zero centered. During back-propagation if the input data to the neuron is

always positive, i.e. $x > 0$, then the gradient weights will either become all positive, or all negative. This could introduce undesirable oscillation dynamics in the gradient updates for the weights. To overcome the non-zero centering problem one may use the tanh activation function, $f(x) = \tanh(x) = (e^x - e^{-x}) / (e^x + e^{-x})$ which has the limits $[-1, 1]$. However this function is subject to saturation when the input has a large dynamic range as it is common in SAR data. A non-saturating nonlinearity like the Rectified Linear Unit (ReLU) activation function [52] can be used to overcome the saturation problem. The ReLU $f(x) = \max(\epsilon, x)$ simply thresholds the data at ϵ , typically $\epsilon = 0$. The differentiation of the function is defined as $\frac{df}{dx} = \{1 : x > \epsilon, 0 : x < \epsilon\}$. Another advantage is that the training time for saturating activation functions is larger with the gradient descent algorithm than for its non-saturating counterparts [53]. Since deep learning algorithms use several layers, faster training of ReLU units (as compared to sigmoid or tanh) translates to multi-fold reduction in training times [54]. Also, the computation of the output of a ReLU is simple as it does not involve evolution of exponentials like in the sigmoid and tanh, allowing for in-place computation and requiring less computer memory. A disadvantage of ReLU units is that, when subjected to large gradients they can update their weights to such a state that they can not be activated by subsequent inputs. The neuron is said to 'die' in the training. To overcome this, the ReLU units can be modified to include a 'leakage' term ϵ , $f(x) = 1(x < \epsilon)(\alpha_r x) + 1(x \geq \epsilon)(x)$. This modification causes the units to have a small negative slope, α_r when the input is below the threshold, i.e. $x < \epsilon$. This allows the neuron to recover even if its weight has been updated to a high value by a particular input, over subsequent inputs. The differentiation can be defined as

$$\frac{df}{dx} = \begin{cases} 1 & : x > \epsilon \\ \alpha_r & : x \leq \epsilon \end{cases}$$

The data must be given as input into the AE in random order to prevent it from memorizing the sequence in which the data are presented. The cross-entropy error in each iteration between the output of the AE and the input data is used to monitor the training. A progression towards zero indicates that the network is properly learning, while a stable value indicates that the learning stage is complete. The rate of adaptation of the network is determined by the set learning rate (α). α is gradually reduced as the training progress. This is done by multiplying it by a set size multiplier (Γ). After a given number of iterations α is updated as $\alpha = \alpha \times \Gamma$. The sparsity of the network is controlled by setting ρ , which is the expected activation of a hidden unit averaged across the training samples. As $\rho \rightarrow 0$ the representation becomes increasingly sparse, controlled by the adjustment of b . The performance of the stochastic gradient descent algorithm can be improved by introducing of a momentum term (μ). Deep architectures tend to have steep slopes in the objective function near the local optima. This causes the gradient descent to oscillate and leads to a slow convergence. By introducing the μ term, these oscillations are dampened.

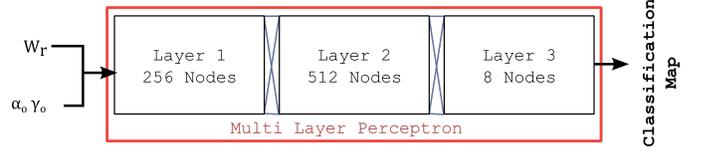


Fig. 7. Stage 3: Final classification is done using a Multi-Layer Perceptron network with parameters extracted from the data.

The AE structure is now a close representation of the input data, and the internal nodes of the AE can be used as features in the classifier. The weights of the representation layer W_r of the AE are used as features after completion of the training phase. They are made available as input to the subsequent stage of the method. W_r is a sparse representation incorporating possible rotations of the targets present in the scene. This gives it a better generalization ability over the original data-space. A sparse representation also simplifies subsequent classifier design and improves accuracy due to improved inter-class separation [55].

C. Classification using Multi-layer Perceptron Network

The third stage of the method consists of a multi-layer perceptron (MLP) fully connected feed forward neural network (Figure 7). The network is trained by a supervised learning algorithm that takes training data and labels as input and attempts to classify unlabeled additional unseen data-points. Here, the input to the MLP are the features W_r extracted from the previous stage and two statistical parameters α_{ij}^0 and γ_{ij}^0 computed from the data. These parameters are generated by fitting the G_I^0 distribution to the hh , vv and hv intensity bands [56] over a moving window for each pixel (i, j) in the image. The three α_{ij}^{pq} and γ_{ij}^{pq} parameters are averaged to compute the final values:

$$\begin{aligned} \alpha^0 &= (\alpha_{ij}^{hh} + \alpha_{ij}^{vv} + \alpha_{ij}^{hv})/3 \\ \gamma^0 &= (\gamma_{ij}^{hh} + \gamma_{ij}^{vv} + \gamma_{ij}^{hv})/3 \end{aligned} \quad (10)$$

Here pq represents the individual polarization bands hh , hv , vv and parameters α_{ij}^{pq} and $\gamma_{ij}^{pq} \in \mathbb{R}$. These statistical parameters add textural context to the classification step improving the accuracy. The $\alpha_{ij}^0 < 0$ serves as a measure of the homogeneity (smoothness) of the area while the γ_{ij}^0 is the scale parameter of the distribution and thus is related to the brightness of the area [57]. For values of α_{ij}^0 near zero, the imaged area is very heterogeneous, as in the case of urban areas. The value of α_{ij}^0 diminishes to its lowest value for homogeneous areas. The parameter γ_{ij}^0 can help further discriminate between various type of targets.

The training labels are derived from ground truth information about the area. A three layer network is used to generate the final classification. The network weights and biases are randomly initialized at each iteration using the 'Xavier' strategy [58]. Since the inputs to this stage have smaller dynamic range, and because the goal is to classify the data into labels, we use sigmoid saturating nonlinearities. The network undergoes a training phase using the labeled samples,

extracted features and the statistical parameters. It is iterated to maximize the training accuracy on the test samples. Once the network weights are finalized, the unlabeled pixels in the dataset are classified to generate the thematic map.

III. DATASET AND EXPERIMENT DESIGN

Two datasets are primarily used in this study. A subset (image sub-fragment) of the UAVSAR L-band SAR dataset has been used to study the experiment parameters and actions. The classification is carried out on larger a ALOS-2 L-band SAR image with extensive performance analysis.

A. Dataset description: UAVSAR L-Band dataset

The first dataset is a Single Look Complex L-Band UAVSAR dataset acquired over the San Francisco bay area, USA on November 13, 2012, with a resolution of 0.6 m in azimuth and 1.6 m in range. The look angle ranges from 25° to 60° with a range swath of 20 km [59]. This is an airborne sensor capable of acquiring very high resolution images. The data are multi-looked 3 times in range and 12 times in azimuth to bring them to a resolution of 7.2 m in azimuth and 5 m in range to make them comparable in spatial resolution to the space-borne ALOS-2 dataset. A 1000×1000 pixel representative portion is used for these experiments. This dataset is freely available and has similar properties to the space-borne ALOS-2 sensor, so it was used to analyze the action of the network. The subset has a prominent urban area rotated with respect to the radar line of sight, which was used to check the effectiveness of the technique.

B. Dataset description: ALOS-2 L-Band dataset

The second dataset is an ALOS-2 image acquired on March 24, 2015 over the city of San Francisco, USA with a resolution of 3.2 m in range and 2.8 m in azimuth. The dataset is multi-looked 3 times in range and 2 times in azimuth to generate an image of resolution 9.6 m in range and 5.6 m in azimuth. The radar operates in L-Band with $\lambda = 24$ cm. The area is heavily urbanized and has high coverage with airborne and space-borne polarimetric radar creating a sizable well documented data-pool that can be exploited for various deep learning techniques. Consequently, this area has been featured in several studies on PolSAR [12], [60], [61].

By operating in L-Band, ALOS-2 has increased penetration capability and is less susceptible to scattering due to surface roughness. As a result, return from areas of smooth vegetation such as parks and golf courses appear to have undergone specular reflection, and consequently have very low return power levels. The average backscattered power in these areas for the co-polarized channels, $\sigma_{hh}^0 \approx -16$ dB, and $\sigma_{vv}^0 \approx -15$ dB. This is comparable to that of still water, which is about $\sigma_{hh}^0 \approx \sigma_{vv}^0 \approx -19$ dB and is much lower than the power returned from forest areas, where $\sigma_{hh}^0 \approx 6$ dB and $\sigma_{vv}^0 \approx 7$ dB. Consequently the areas having very low backscatter power tend to be classified as belonging to the water class. This phenomenon is a function of the incidence angle of the sensor and the relative roughness of the surface with respect to the sensing wavelength.

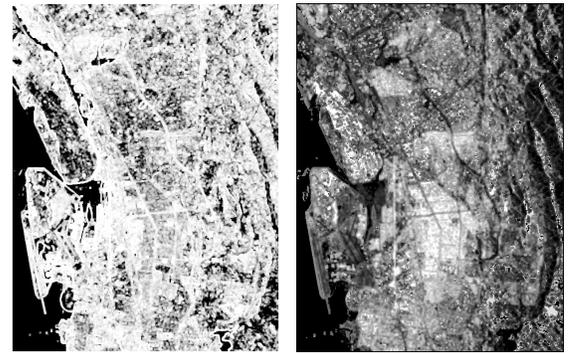
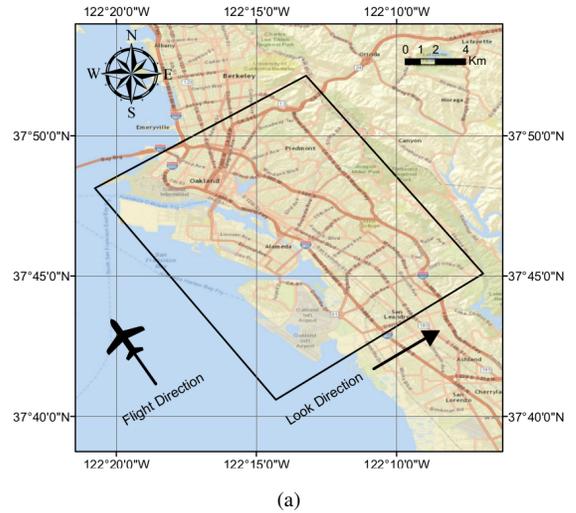


Fig. 8. (a) A map with the dataset footprint shown with the (b) α^0 and (c) γ^0 images extracted from a UAVSAR L-Band dataset collected over Oakland. These serve as textural information to the classifier.

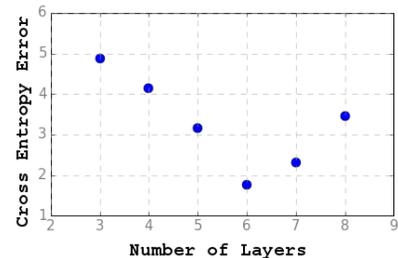


Fig. 9. Effect of layer depth on training of AE in terms of cross entropy error versus the number of layers.

C. Experimental Set-Up

‘Urban’, ‘Forest/vegetation’ and ‘Water’ are the classes chosen in this study. These classes are usually an important input for various applications related to urban classification. Disaster management studies, urban sprawl estimation, target and infrastructure recognition are examples of applications that benefit from accurate identification of these classes. The urban class comprises of man-made structures which height is equal to or greater than the sensing wavelength causing the incident EM wave to undergo even number of bounces from the surface surrounding the structure, and the structure itself before returning back to the sensor. This includes structures

like houses, walls, masts etc. These targets are characterized in PolSAR data by a strong double bounce return because of their constituent materials and geometry [62]. In the context of this study, the ‘Forest / Vegetation’ class is used to refer to areas of natural vegetation, open spaces between urban areas with light to almost no vegetation, parks etc. In PolSAR, this class is characterized by diffused scattering which does not change significantly with rotation about the radar line of sight. The ‘Water’ class is made up of water bodies that are characterized by specular or surface reflection depending on the condition of the surface. At longer wavelengths, some smooth natural areas have a very low return and tends to be misclassified as water. The proportion of such pixels is however under 0.2% of the total as estimated from the ground truth.

As a part of the SAR pre-processing, a refined Lee Filter with a window size of 3×3 is applied to the dataset after the application of appropriate multi-looking for the suppression of speckle. The areas under consideration have relatively flat topography, and hence no radiometric terrain correction is applied. Appropriate compensation [63] may be applied in case of highly undulated areas. The synthetic target database is generated by rotating \mathbf{T} with a step size of 3° in the range -22° to 22° . Considering a finer sampling of 1° increases the data volume many-fold without a corresponding appreciable increase in classification accuracy.

The network used in stage 2 of the proposed method is a six layer stacked sparse auto-encoder. To determine the optimal number of layers the dataset was trained on different AE topologies of increasing depth, but with the same hyper-parameters ($\alpha = 0.01, \Gamma = 0.1, \mu = 0.95$). The cross-entropy error at the end of training was analyzed to compare the architectures. From the plot in Figure 9 it is seen that a 6-layer auto-encoder is the most suitable for this dataset. From input X to output X' , the network has 1024, 512, 256 nodes in layers 1, 2 and 3, respectively, forming the encoder, and 512, 1024 nodes in layer 5 and 6 forming the decoder. The central 64 node layer 4 contains the learned representation. The non-linearity of each encoder is a ReLU with a leakage parameter $\alpha_r = 0.01$ allowing the handling of large dynamic range input without saturating or becoming non-responsive over many iterations. The sparsity hyper-parameter of the network is set to $\rho = 0.15$ which ensures that the average activation of each hidden neuron is approximately near 0. The network weights and biases are randomly initialized at the beginning of each iteration using the ‘Xavier’ strategy [58]. The network is iterated 200,000 times with a batch size of 1000. This ensures that the complete data set is passed multiple times though the auto-encoder for better generalization. To ensure that the learning machine is not memorizing the order in which the data are being fed, this order is randomized. The base learning rate is set to $\alpha = 0.001$ and the update step multiplier is set to $\Gamma = 0.1$. The step-size is chosen to be 40,000 to allow for sufficient number of epochs before the learning rate is updated. The gradient descent momentum is set to $\mu = 0.85$. The value of batch size is adjusted depending on the size of the image.

In stage 3, a three layer MLP network consisting of 256 hidden nodes in the first layer, 512 in the second layer and

8 in the last layer is used for the final classification. When common PolSAR visualization techniques (i.e. Pauli RGB) and decompositions are applied, vegetated and rotated urban areas appear to be visually similar. This makes it more difficult to successfully discriminate and delineate rotated urban areas in a scene as compared to areas that are perpendicular to the radar line of sight. Hence no training areas are considered from areas which do not show dihedral (red) scattering in the Pauli RGB image.

The weights from the representational layer of the previous stage are given as input to the MLP along with and two statistical texture parameters, α_0 and γ_0 (Figure 8). A window of 9×9 has been used for extraction of the parameters. The size of the window is determined by the resolution of the image and dimensions of the targets on the ground. These add more texture information to the classification scheme helping discern urban areas better. For this network $\alpha = 0.01$ (not to be confused with the statistical parameter $\alpha_{i,j}^0$), $\Gamma = 0.1$ and $\mu = 0.95$. About $\sim 5\%$ of the total pixels in the data-set is used for training the MLP. The MLP network is iterated a maximum of 100,000 times.

Five experiments are carried out on UAVSAR and ALOS-2 datasets. First, the impact of textural parameters is examined. The AE is trained and the weights of the representational layer are extracted. The MLP classification is performed both with and without the introduction of textural parameters. The difference in classification performance is evaluated in Section IV-A. Second, the impact of the synthetic target generation is studied. The AE is trained on \mathbf{T} as usual. After the completion of training the weight update is stopped and a \mathbf{T} matrix rotated synthetically by 5° and 9° degrees is given as input. The activation pattern of the neural network in the case of permuted data is compared with the pattern when no rotation is applied (Section IV-B). Third, classification and performance analysis is conducted on the ALOS-2 dataset (Section IV-C). Accuracy assessment is performed both quantitatively and qualitatively. Fourth, the response of one node of the representational layer is extracted from the AE and plotted to visualize the learned representation (Section IV-D). Fifth, the results of the proposed method are compared with other classification techniques (Section IV-E).

IV. RESULTS

The impact of textural parameters and synthetic rotation for target generation on the performance of the network are examined on a subset of the UAVSAR dataset. The analysis of classification performance using the proposed method was conducted on the full ALOS-2 scene along with the analysis of the learned representation. Finally, the performance of the proposed technique was compared with state of the art classifiers for PolSAR data.

A. Impact of Textural Parameters

One of the advantages of the deep-learning based approach, is that useful parameters can be included in the later stages of the process. This is in contrast to approaches, where the information must be included at the beginning, causing an

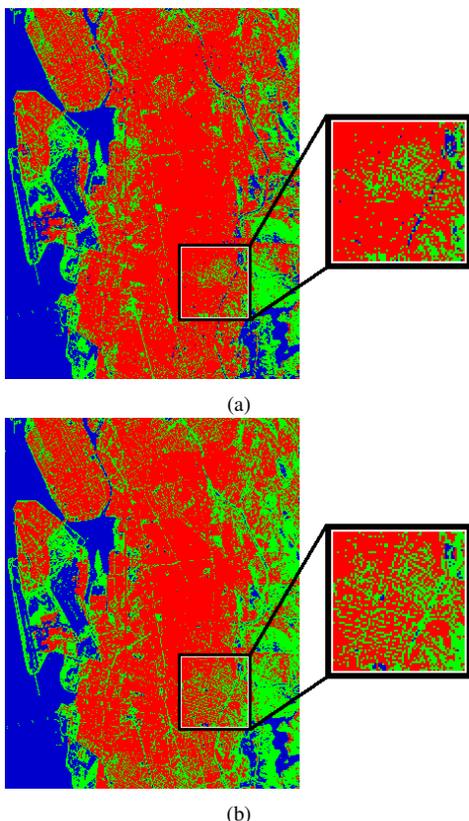


Fig. 10. Classified map derived from an UAVSAR full polarimetric L-Band dataset (a) with and (b) without the use of α^0 and γ^0 as textural features.

increase in dimensionality and classification difficulty, making a feature selection step necessary [64], [65]. Although the inclusion of the textural parameter only slightly improves the overall classification accuracy its inclusion can help discern low-density oriented urban targets. In Figure 10 the classification map of the UAVSAR data-set is presented, both with and without the inclusion of the textural parameters α_0 and γ_0 in the MLP stage. The overall improvement in classification accuracy due to the inclusion of textural parameters is small ($\sim 3\%$). However, for areas of low density sub-urban housing interleaved with vegetation and streets, an improvement is observed (black box in Figure 10) because of benefit from the neighborhood information.

B. Impact of Synthetic Rotation

A histogram of measured orientation angles in the UAVSAR dataset is shown in Figure 11. It can be seen that most of the targets are oriented between -10° and 10° . The average orientation angle of this subset is approximately 5° . The orientation angle is computed by the estimation method given in [48]. To visualize the action of synthetic rotation, \mathbf{T} is given as input to the trained AE stage after rotation by 0° , 5° and 9° degrees separately. As an example, the 11th element of the feature vector is extracted, after completion of the training stage of the AE and is presented in Figure 12. In the case of the pixels in which the synthetic rotation angle matches the actual target orientation on the ground, the reconstruction error of the AE is lower than the average one over the scene. The

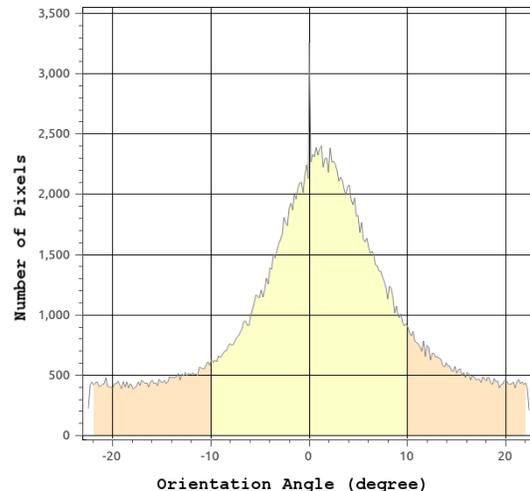


Fig. 11. Distribution of the estimated Orientation angles of the region imaged in the UAVSAR L-Band dataset acquired over Oakland, USA.

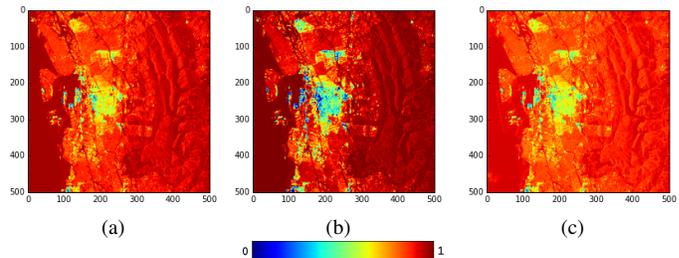


Fig. 12. A section of the UAVSAR image is trained using the auto-encoder network and the extracted features are plotted when input corresponds to a synthetic rotation of (a) 0° (b) 5° (c) 9° respectively. The actual value of the output of the ReLU node has been scaled from 0 to 1 for representation as an image.

areas on the ground that actually correspond to the synthetic rotation (0° , 5° and 9°) are closer to zero. The AE was only trained on the input dataset. However it is able to provide an appropriate response when an unseen and arbitrarily rotated version of the input data is introduced. This implies that the application of synthetic rotation to a target is equivalent to the case when such an oriented target is actually present in the training data. Thus the generalization capability of the AE is improved.

C. Analysis of Classification Performance

The Pauli composite image generated from the dataset is shown in Figure 15 along with the training areas superimposed on it. They are derived from the interpretation of aerial imagery (ESRI/Bing Maps), topographical maps (USGS) and the Pauli composite and are marked with red polygons for urban areas, green for forest/vegetation areas, and blue for water. The pixels enclosed in these polygons form the ground truth. The proportion of ground-truth pixels in each class is approximately the same, and in total, they constitute less than $\sim 10\%$ of the total pixels in the image. These are randomly

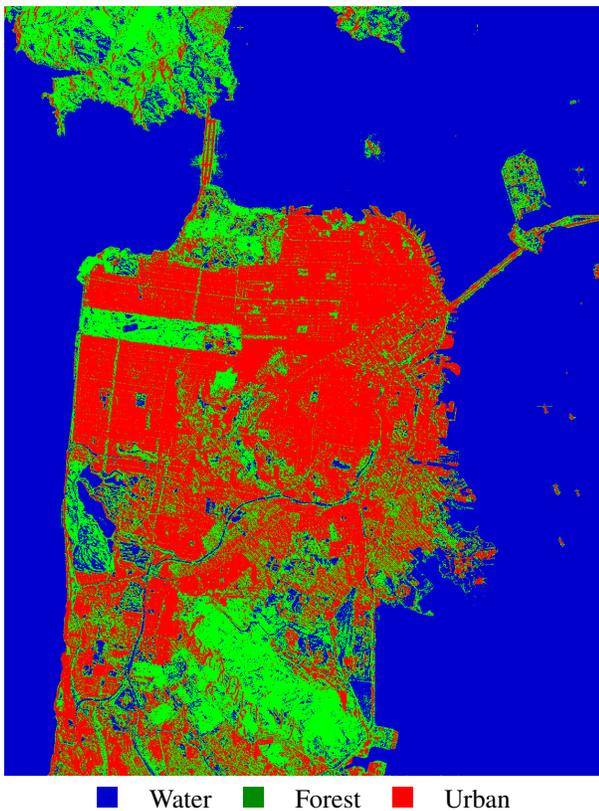


Fig. 13. Classified map of San Francisco derived from an ALOS-2 full polarimetric L-Band dataset.

divided into three groups: training, test and validation. Pixels in the training set are used in the training of the network. At regular intervals within the training iterations, the process is halted and the test pixels are used to evaluate the accuracy of the network. The difference between the training and test accuracy is used to ensure that the training phase is progressing without over-fitting or memorization. To quantify the final

TABLE I
CONFUSION MATRIX AND ACCURACY STATISTICS FOR ALOS-2 SAN FRANCISCO, CA DATASET USING THE PROPOSED SUPERVISED CLASSIFICATION SCHEME INCORPORATING TEXTURAL INFORMATION

	Urban	Water	Forest	Prod. Acc.
Urban	84.20	0	4.39	95.45
Water	1.3	96.86	3.41	96.00
Forest	14.5	3.14	92.20	84.41
User Acc.	84.85	96.97	92.93	
OA	91.63 %			
Kappa	0.85			

performance of the classifier, validation pixels are employed. The confusion matrix is and is presented in Table I.

The dataset is classified with an overall accuracy of 91.63% and a Kappa coefficient of 0.85. Urban areas are classified with an accuracy of 84.2%. The urban class is mostly confused with the forest class. This is primarily due to the fact that both, urban areas rotated with respect to the radar line of sight and vegetation have higher cross-polarized return. Certain small, smooth vegetated areas like parks, have been misclassified as the water class, contributing to the error of 3.14% due to the low backscattered power as previously highlighted.

The resultant map is presented in Figure 13. Reference aerial photographs are given in Figure 16. We can see a close correspondence between the areas that appear to be urban in the optical aerial images and the classification result. Detail subsets from selected areas of the classification output along with the corresponding aerial imagery, representing the ground truth, are shown in Figure 14. This demonstrates the performance of the proposed algorithm on the considered dataset. The resolution of this imagery is $\sim 0.3m$ and is significantly higher than that of the classified map. However, reasonable correspondence can be seen between the two.

The subset shown in Figure 14a represents a dense urban area that is oriented at an angle $\sim -20^\circ$ from the radar line of sight, marked as Area ‘A1’ in the image. Due to this large orientation, this region is often misclassified [66], however it

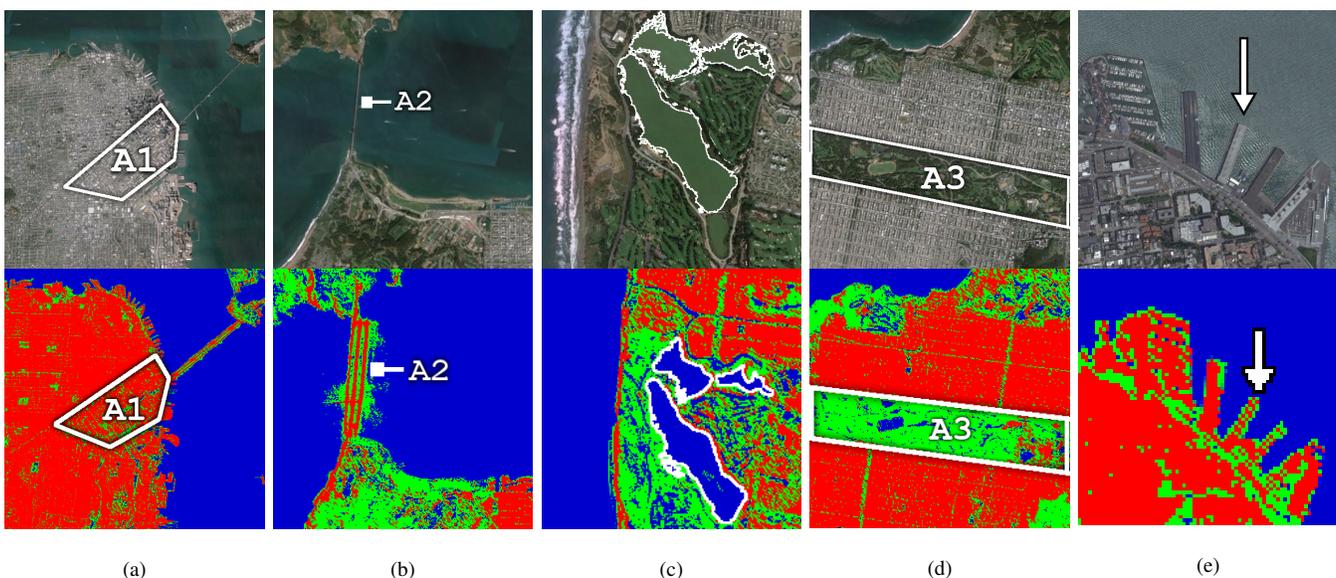


Fig. 14. Crops of the classified map shown alongside corresponding aerial imagery courtesy ESRI/Bing Maps.

is classified correctly using the proposed method. The subset shown in Figure 14b shows the Golden Gate bridge, marked as 'A2' and some surrounding areas. Apart from the return from the bridge itself, multi-path returns from reflections from the bridge and the water surface can also be seen. The radar

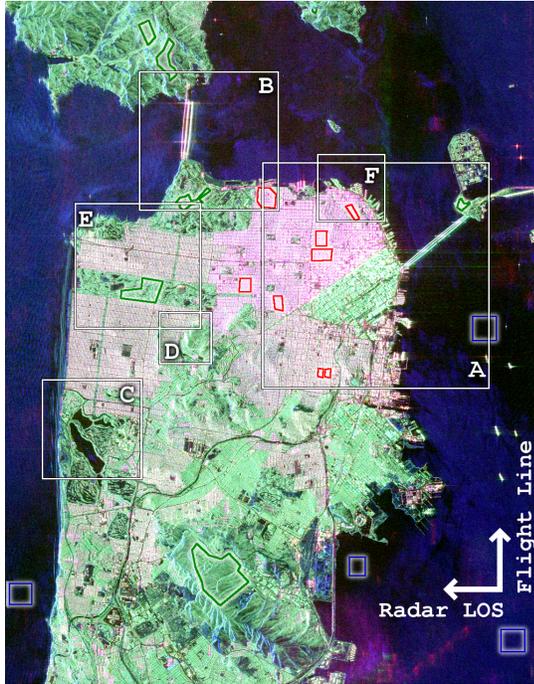


Fig. 15. Pauli RGB image constructed from the ALOS-2 dataset collected over San Francisco, USA is shown with the ground-truth areas. The urban class is enclosed in red, the forest/vegetation in green and water in blue polygons.

echoes from the vicinity of the bridge are quite strong and have a high value of γ^0 . This causes the third stage of the classifier, which takes γ^0 as an input, to classify this pixels immediately under the bridge as forest. Figure 14c shows a lake surrounded by urban and vegetated areas. This is marked with a white outline on the aerial images and classification maps. It can be seen that the lake is well discriminated from other classes. As discussed earlier, the smooth vegetated surfaces near the lake

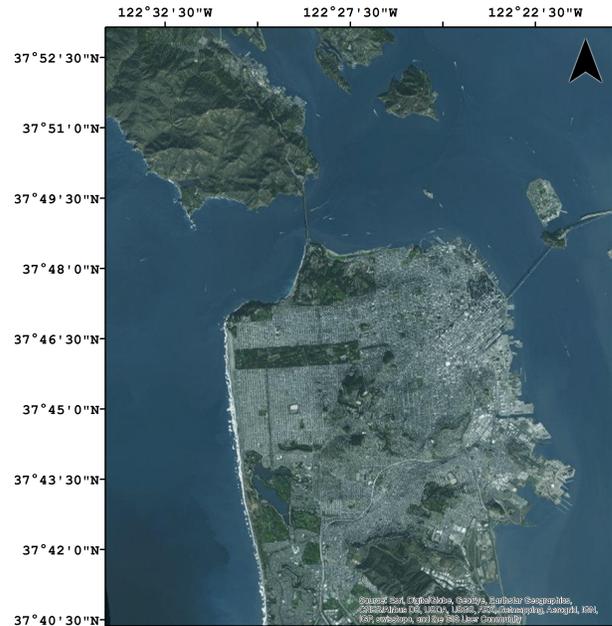


Fig. 16. Aerial imagery collected over San Francisco, USA depicting the extent covered by the ALOS-2 dataset courtesy of ESRI/Bing Maps.

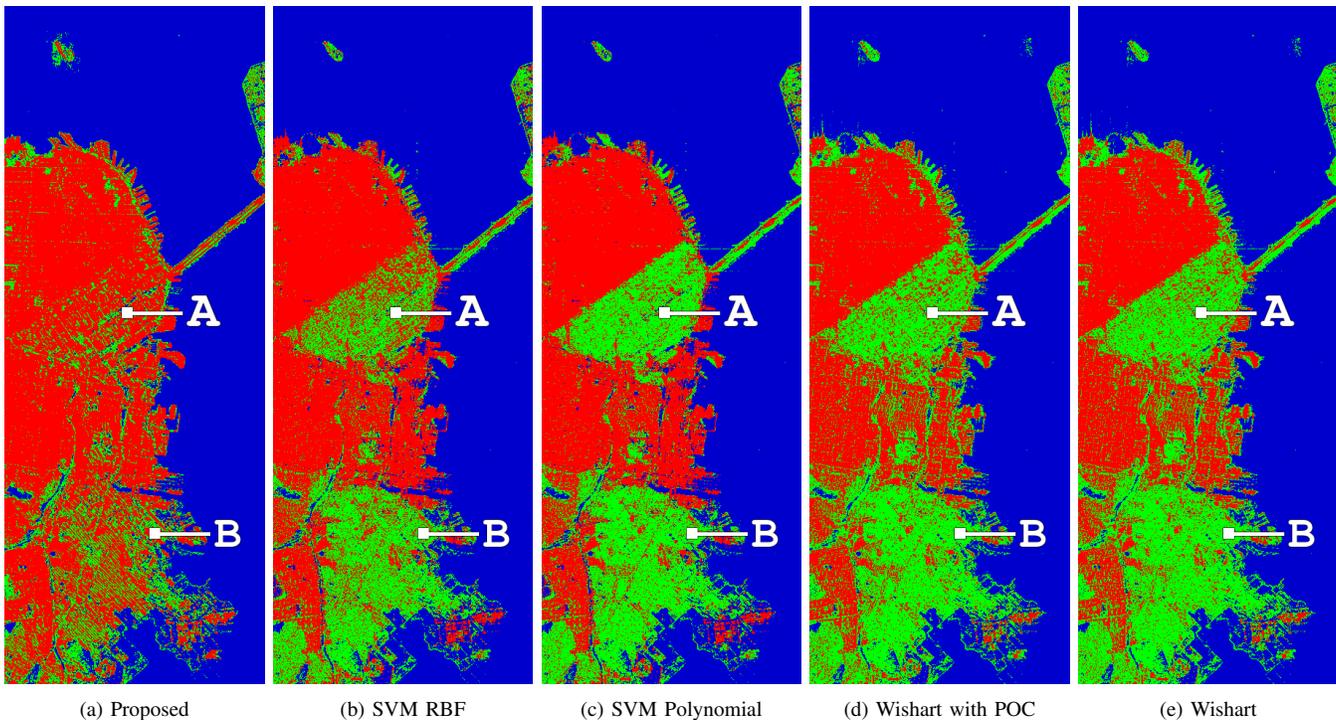


Fig. 17. Comparison of common classification techniques with the proposed method.

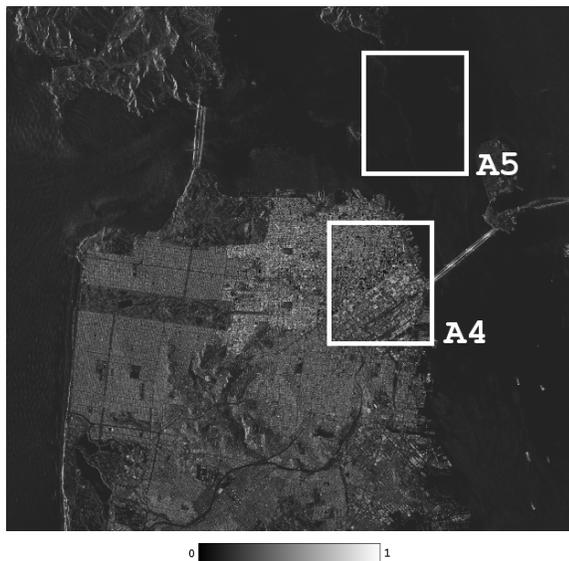


Fig. 18. Extracted feature map for one of the internal nodes in the representation layer from the trained AE.

are misclassified as water due to near specular reflection at L-band frequencies and low incidence angles.

The area marked as ‘A3’ in the subset shown in Figure 14d consists of a park between two regions of high density urban areas. It can be seen that the area of vegetation is well identified. The high resolution of ALOS-2 allows the faithful classification of small features in this park as well. To further exploit high resolution datasets like ALOS-2 for classification of fine details, it is possible to avoid filtering operations in the SAR pre-processing step. Since, the proposed technique is pixel based, it does not cause a degradation in resolution. Subset shown in Figure 14e is of a jetty. The white arrow marks a pier structure which has interleaving perpendicular cylindrical masts. This shows a high double bounce return which does not reduce with rotation of the target about the radar line of sight. This enables the classifier to correctly identify this structure.

D. Analysis of the Learned Representation

To understand the information encoded in the representational layer of the AE, the response of one of the nodes it is extracted and shown in Figure 18 after the completion of the training phase. This is one of the many internal representations encoded by the network. Since the network is initialized randomly, the exact position of the internal node containing information and its encoding will change each time the network is trained. However, in general, it is observed that each internal node learns a different encoding of the dataset. The representation is sparse in nature with only small percentage of nodes containing useful information for classification. Area ‘A4’ consists of urban areas both perpendicular to and oriented away from the radar line of sight. Although they appear distinct in the Pauli visualization (Figure 15), the trained network evokes a uniformly strong response from the area. Thus the AE is able to combine the information from the synthetically rotated urban target database to form

TABLE II
CLASS-BY-CLASS TEST-AREA ACCURACY STATISTICS FOR ALOS-2, SAN FRANCISCO, CA DATASET FOR THE PROPOSED TECHNIQUE, SVM WITH RBF KERNEL, THE SVM WITH POLYNOMIAL KERNEL AND THE WISHART SUPERVISED CLASSIFIERS.

	Proposed	SVM-RBF	SVM-Poly	Wishart + POC	Wishart
Urban	86.2	64.2	58.5	59.1	55.6
Water	98.1	96.4	96.3	92.1	92.1
Forest	86.1	84.2	83.6	83.2	82.8
OA	90.8	81.6	79.4	78.14	76.83

an internal representation that is independent of the target orientation. This allows for the accurate classification of the urban areas. In contrast, homogeneous areas like Area ‘A5’ have a lower response allowing them to be distinguished in the final classification.

E. Comparison with State of the Art Classifiers

The proposed method is compared with other commonly used SAR classification techniques. The same training areas were used to train all classifiers.

The class-by-class accuracy is reported in Table II and the results are presented in Figure 17. The SVM classifier was run with two kernels: a polynomial kernel (SVM-Poly) and a RBF kernel (SVM-RBF). The parameters of the RBF kernel were determined by the method described in [67]. The polynomial kernel used has a degree of 4. The Wishart classifier was run both with Polarization Orientation Correction (Wishart+POC) and without (Wishart). The proposed classifier has an urban area classification accuracy of 86.2%. It outperforms the SVM-RBF, SVM-Poly, Wishart+POC and Wishart classifier which have urban area accuracies of 64.2%, 58.2%, 59.1% and 55.6% respectively. The POC is able to improve the discernibility. However, targets that are oriented significantly with respect to the radar line of sight are still misclassified.

The areas shown in the subset, marked ‘A’ and ‘B’, are highly urbanized as seen in the optical image collected over San Francisco (Figure 16). The cross-polarized return from area ‘A’ makes it difficult to discern this from actual areas of vegetation. However, due to the synthetic rotation the proposed scheme is able to account for the orientation information and more successfully classify the region than the other methods, while maintaining high textural fidelity. The mean orientation angle of area ‘B’ is almost perpendicular to that of area ‘A’, and the region is characterized by large open spaces between man-made structures. The mixed nature of the pixels makes classification more difficult. As seen in Figure 17a, the proposed technique correctly classifies these structures while largely preserving the texture. The other methods erroneously classify most of this region with the RBF kernel SVM performing better than the polynomial kernel SVM and Wishart supervised classifier. Wishart+POC performs slightly better than SVM with the polynomial kernel.

V. CONCLUSION

Monitoring of urban areas for growth and disaster relief is an important application of radar remote sensing. However the

identification of urban areas from PolSAR data is challenging due to the misclassification of urban targets which are not perpendicular to the radar illumination. In this paper we have proposed a novel technique based on a generalized synthetic target database generated according to the principles of the physics of scattering and a deep neural network architecture. The dataset is synthetically rotated by steps of 3° and converted to Mueller matrices. The transformation of the complex-valued coherency matrix to the real-valued Mueller matrix is done to simplify the computation during the back-propagation of the neural network. The creation of the target database serves as a data augmentation step which is integrated into a unified and reduced feature representation by the AE. The increase of information content improves the generalization ability of the network. As a result, it can successfully classify urban targets rotated with respect to the radar line of sight, even though such examples are not presented in the initial training phase.

The generalization ability is demonstrated on a portion of an UAVSAR L-band SAR image. The network is trained on the generalized urban target database, which was created synthetically by simulating the response of targets in the scene through a range of orientation angles. For testing, the data were rotated to a known angle artificially and applied as input. Hence, it is observed that areas on the ground that have a certain artificially rotated input angle have a stronger network response. Thus the synthetic rotation is linked to the physical properties of the target and can be exploited for improving the generalization ability. The performance of the classification scheme is demonstrated on an ALOS-2 L-band SAR image acquired over San Francisco. Overall accuracy is about 91.63% for the datasets considered. The proposed approach qualitatively and quantitatively outperforms contemporary classification techniques commonly used for PolSAR data. The computation is efficient and fast using GPU techniques and has a potential for further speed up by upcoming hardware improvements. There is no limitation to the size of the dataset as training can proceed in small mini-batches which can be scaled to fit the available GPU memory.

In the future, with the advent of sensors capable of multi-frequency and multi-squint angle sensing the synthetic target database generation step can be expanded. Target information at different frequencies and squint angles can be similarly integrated by a modified AE architecture to further improve generalization and classification ability. The angle step size can be adjusted adaptively depending on the scene heterogeneity and data spatial resolutions. The methodology can also be adapted to evaluate its ability to learn efficient representations of other polarimetric parameters. The final classifier stage can also be modified to incorporate spatial relations allowing for better context sensitive classification.

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